Integrated Governance

AU SMALL FINANCE BANK LIMITED

General information about company

Scrip code	540611	
NSE Symbol	AUBANK	
MSEI Symbol	NOTLISTED	
ISIN	INE949L01017	
Date of start of financial year	01-04-2026	
Date of end of financial year	31-03-2027	
Reporting Quarter Type	Quarterly	
Date of Quarter Ending	30-06-2026	
Type of company	Equity	
Whether Annexure I (Part A) of the SEBI Circular dated December 31, 2024 related to Compliance Report on Corporate Governance is applicable to the entity?	Yes	
Whether Annexure I (Part B) of the SEBI Circular dated December 31, 2024 related to Investor Grievance Redressal Report is Applicable to the entity?	Yes	
Whether Annexure I (Part C) of the SEBI Circular dated December 31, 2024 related to Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies is Applicable to the entity?	No	There was no acquisition of shares/voting rights in the unlisted companies during the quarter ended June 30, 2026.
Whether Annexure I (Part D) of the SEBI Circular dated December 31, 2024 related to Disclosure of Imposition of Fine or Penalty is Applicable to the entity?	No	There was no penalty levied during the quarter ended June 30, 2026.
Whether Annexure I (Part E) of the SEBI Circular dated December 31, 2024 related to Disclosure of Updates to Ongoing Tax Litigations or Disputes is Applicable to the entity?	No	There is no material tax litigation or dispute disclosed to the stock exchange in the past in terms of SEBI (LODR) Regulations, 2015 which requires disclosure of update in this submission.
Risk management committee	Yes	
Market Capitalisation as per immediate previous Financial Year	Top 500 listed entities	
Is SCORE ID Available ?	Yes	
SCORE Registration ID	A01013	
Reason For No SCORE ID		
Type of Submission	Original	
Remarks (website dissemination)		

Annexure I

Annexure I to be submitted by listed entity on quarterly basis

I. Composition of Board of Directors

Disclosure of notes on composition of board of directors explanatory		
Whether the listed entity has a Regular Chairperson	Yes	
Whether Chairperson is related to MD or CEO	No	Disqualification of Directors under section 164 of the Companies Act, 2013

Sr no.	Title(Mr/Ms)	Name of the Director	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Whether the director is disqualified?	Start Date of disqualification	End Date of disqualification	Details of disqualification	Current status	Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]	Date of passing special resolution	Initial Date of appointment	Date of Re-appointment	Date of cessation	Tenure of director(in months)	No of Directorship in listed entities including this listed entity(Refer Regulation 17A of Listing Regulations)	No of Independent Directorship in listed entities including this listed entity(Refer Regulation 17A(1) of Listing Regulations	Number of memberships in Audit/ Stakeholder Committee(s) including this listed entity (Refer Regulation 26(1) of Listing Regulations)	No of post of Chairperson in Audit/ Stakeholder Committee held in listed entities including this listed entity (Refer Regulation 26(1) of Listing Regulations)	Reason for Cessation	Notes for not providing PAN	Notes for not providing DIN
1	Mr	Harun Rasid Khan	07456806	Non-Executive - Independent Director	Chairperson		No				Active	NA		28-12-2021	28-12-2024		54.04	1	1	0	0			
2	Mr	Kamlesh Shivji Vikamsey	00059620	Non-Executive - Independent Director	Not Applicable		No				Active	NA		25-04-2022	25-04-2025		50.06	3	2	6	5			
3	Ms	Malini Thadani	01516555	Non-Executive - Independent Director	Not Applicable		No				Active	NA		25-11-2022	25-11-2025		43.06	3	3	3	1			
4	Mr	Nandkumar Saravade	07601861	Non-Executive - Independent Director	Not Applicable		No				Active	NA		31-05-2025	31-05-2025		13.01	2	2	0	0			
5	Mr	Jagajit Mangal Prasad	11146660	Non-Executive - Independent Director	Not Applicable		No				Active	NA		01-07-2025	01-07-2025		12	1	1	1	0			
6	Mr	Venkatesh Narasinganallore Srinivasan	01893686	Non-Executive - Independent Director	Not Applicable		No				Active	NA		25-11-2025	25-11-2025		7.06	1	1	5	2			
7	Mr	Satyajit Dwivedi	08118455	Non-Executive - Independent Director	Not Applicable		No				Active	NA		25-11-2025	25-11-2025		7.06	1	1	1	0			
8	Mr	Phani Shankar	09663183	Non-Executive - Independent Director	Not Applicable		No				Active	NA		20-01-2026	20-01-2026		5.12	1	1	2	1			
9	Mr	Sanjay Agarwal	00009526	Executive Director	Not Applicable	CEO-MD	No				Active	NA		22-01-2003	19-04-2026			1	0	0	0			
10	Mr	Uttam Tibrewal	01024940	Executive Director	Not Applicable		No				Active	NA		22-01-2005		18-04-2026		1	0	0	0	Tenure Completion		
11	Mr	Vivek Tripathi	11510604	Executive Director	Not Applicable		No				Active	NA		24-04-2026				1	0	1	0			

Annexure I

II. Composition of Committees	
Disclosure of notes on composition of committees explanatory	Textual Information(1)

Text Block

Textual Information(1)	Corporate Social Responsibility Committee is Corporate Social Responsibility & Sustainability Committee

Audit Committee Details

Whether the Audit Committee has a Regular Chairperson						Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	00059620	Kamlesh Shivji Vikamsey	Non-Executive - Independent Director	Chairperson	26-04-2022		
2	01893686	Venkatesh Narasinganallore Srinivasan	Non-Executive - Independent Director	Member	21-01-2026		
3	08118455	Satyajit Dwivedi	Non-Executive - Independent Director	Member	21-01-2026		
4	09663183	Phani Shankar	Non-Executive - Independent Director	Member	21-01-2026		
5	11146660	Jagajit Mangal Prasad	Non-Executive - Independent Director	Member	21-01-2026		

Nomination and remuneration committee

Whether the Nomination and remuneration committee has a Regular Chairperson						Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	11146660	Jagajit Mangal Prasad	Non-Executive - Independent Director	Chairperson	21-10-2025		
2	01516555	Malini Thadani	Non-Executive - Independent Director	Member	30-03-2023		
3	07456806	Harun Rasid Khan	Non-Executive - Independent Director	Member	26-04-2022		
4	00059620	Kamlesh Shivji Vikamsey	Non-Executive - Independent Director	Member	21-10-2025		

Stakeholders Relationship Committee

Whether the Stakeholders Relationship Committee has a Regular Chairperson						Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	09663183	Phani Shankar	Non-Executive - Independent Director	Chairperson	31-03-2026		
2	00059620	Kamlesh Shivji Vikamsey	Non-Executive - Independent Director	Member	26-04-2022		
3	00009526	Sanjay Agarwal	Executive Director	Member	30-03-2023	26-04-2026	Textual Information(1)
4	01516555	Malini Thadani	Non-Executive - Independent Director	Member	30-03-2023		
5	11510604	Vivek Tripathi	Executive Director	Member	27-04-2026		Textual Information(2)

Text Block

Textual Information(1)	Ceased as Member of the Committee
Textual Information(2)	Added as Member of the Committee

Risk Management Committee

Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
Whether the Risk Management Committee has a Regular Chairperson						Yes	
1	01893686	Venkatesh Narasinganallore Srinivasan	Non-Executive - Independent Director	Chairperson	21-01-2026		
2	07456806	Harun Rasid Khan	Non-Executive - Independent Director	Member	26-04-2022		
3	00059620	Kamlesh Shivji Vikamsey	Non-Executive - Independent Director	Member	26-04-2022		
4	07601861	Nandkumar Saravade	Non-Executive - Independent Director	Member	28-06-2025		
5	09663183	Phani Shankar	Non-Executive - Independent Director	Member	21-01-2026		
6	01024940	Uttam Tibrewal	Executive Director	Member	21-01-2026	18-04-2026	Textual Information(1)
7	11510604	Vivek Tripathi	Executive Director	Member	27-04-2026		Textual Information(2)

Text Block

Textual Information(1)	Tenure Completion as Executive Director
Textual Information(2)	Added as Member of the Committee

Corporate Social Responsibility Committee

Whether the Corporate Social Responsibility Committee has a Regular Chairperson						Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	01516555	Malini Thadani	Non-Executive - Independent Director	Chairperson	30-03-2023		
2	07456806	Harun Rasid Khan	Non-Executive - Independent Director	Member	26-04-2022		
3	00009526	Sanjay Agarwal	Executive Director	Member	17-04-2017		
4	07601861	Nandkumar Saravade	Non-Executive - Independent Director	Member	21-01-2026		
5	08118455	Satyajit Dwivedi	Non-Executive - Independent Director	Member	21-01-2026		
6	11146660	Jagajit Mangal Prasad	Non-Executive - Independent Director	Member	27-04-2026		Textual Information(1)

Text Block

Textual Information(1)	Added as Member of the Committee

Other Committee

Sr	DIN Number	Name of Committee members	Name of other committee	Category 1 of directors	Category 2 of directors	Remarks
No records available						

Annexure I

III. Meeting of Board of Directors							
Disclosure of notes on meeting of board of directors explanatory							Textual Information(1)
Sr	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Notes for not providing Date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors as on date of the meeting	Number of Directors present*(All directors including Independent Director)	No. of Independent Directors attending the meeting*
1	20-01-2026			Yes	13	13	10
2	24-02-2026	34		Yes	11	11	9
3	17-03-2026	20		Yes	11	11	9
4	27-04-2026	40		Yes	10	10	8
5	12-05-2026	14		Yes	10	10	8
6	21-06-2026	39		Yes	10	10	8

Text Block

Textual Information(1)	The Board meeting held on June 21, 2026 which commenced on June 21, 2026 and concluded on June 23, 2026.

Annexure I

IV. Meeting of Committees										
Disclosure of notes on meeting of committees explanatory										
Sr	Name of Committee	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Name of other committee	Reson for not providing date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors in the Committee as on date of the meeting	Number of Directors Present (All Directors including Independent Director)	No. of Independent Directors attending the meeting*	No. of members attending the meeting (other than Board of Directors)
1	Audit Committee	12-01-2026				Yes	3	3	3	0
2	Audit Committee	20-01-2026	7			Yes	3	3	3	0
3	Audit Committee	25-02-2026	35			Yes	6	6	6	0
4	Audit Committee	22-04-2026	55			Yes	5	5	5	0
5	Audit Committee	27-04-2026	4			Yes	5	5	5	0
6	Nomination and remuneration committee	19-01-2026				Yes	4	4	4	0
7	Nomination and remuneration committee	26-03-2026	65			Yes	4	4	4	0
8	Nomination and remuneration committee	09-06-2026	74			Yes	4	4	4	0
9	Risk Management Committee	13-01-2026				Yes	5	5	5	0
10	Risk Management Committee	19-01-2026	5			Yes	5	5	5	0
11	Risk Management Committee	18-04-2026	88			Yes	6	5	5	0
12	Risk Management Committee	25-04-2026	6			Yes	5	5	5	0
13	Risk Management Committee	19-06-2026	54			Yes	6	6	5	0
14	Corporate Social Responsibility Committee	13-02-2026				Yes	6	6	5	0
15	Stakeholders Relationship Committee	13-02-2026				Yes	4	3	3	0

Annexure I

V. Affirmations		
Sr	Subject	Compliance status (Yes/No)
1	The composition of Board of Directors is in terms of SEBI (Listing obligations and disclosure requirements) Regulations, 2015	Yes
2	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015 a. Audit Committee	Yes
3	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. b. Nomination & remuneration committee	Yes
4	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. c.Stakeholders relationship committee	Yes
5	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. d. Risk management committee (applicable the top 1000 listed entities)	Yes
6	The committee members have been made aware of their powers, role and responsibilities as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.	Yes
7	The meetings of the board of directors and the above committees have been conducted in the manner as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.	Yes
8	This report and/or the report submitted in the previous quarter has been placed before Board of Directors.	true
9	Any comments/observations/advice of Board of Directors may be mentioned here:	

Annexure I

Sr	Subject	Compliance status
1	Name of signatory	Manmohan Parnami
2	Designation	Company Secretary

Details of Cyber security incidence

Whether as per Regulation 27(2)(ba) of SEBI (LODR) Regulations, 2015 there has been cyber security incidents or breaches or loss of data or documents during the quarter		No
Other details of cyber security incidence or breaches or loss of data event		
Number of cyber security incidence or breaches or loss of data event occurred during the quarter		
Sr.	Date of the event	Brief details of the event
No records available		

Signatory Details

Name of signatory	Manmohan Parnami
Designation of person	Company Secretary and Compliance Officer
Place	Jaipur
Date	30-07-2026

Investor Grievance Details

No. of investor complaints pending at the beginning of Quarter	0
No. of investor complaints received during the Quarter	2
No. of investor complaints disposed off during the Quarter	2
No. of investor complaints those remaining unresolved at the end of the Quarter	0

Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies- The details of acquisition of shares or voting rights in unlisted companies during the quarter in terms of sub-para 1 of para A of Part A of Schedule III are given below:

Any Other Information for Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies					
Sr.No.	Name of the unlisted company in which shares or voting rights have been acquired	Date of acquisition	Aggregate holding (% shares or voting rights) as at the end of the previous quarter	% shares or voting rights acquired during the quarter	Aggregate holding (% shares or voting rights) as at the end of the quarter
No records available					

Disclosure of Imposition of Fine or Penalty The details of imposition of fine or penalty during the quarter in terms of sub-para 20 of para A of Part A of Schedule III are given below:

Any Other Information for Disclosure of Imposition of Fine or Penalty					
Sr.No.	Name of the authority	Nature and details of the action(s) taken or order(s) passed	Date of receipt of direction or order, including any ad interim or interim orders, or any other communication from the authority	Details of the violation(s)/ contravention(s) committed or alleged to be committed	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible
No records available					

Disclosure of Updates to Ongoing Tax Litigations or Disputes The updates on tax litigations or disputes in terms of sub-para 8 of para B of Part A of Schedule III read with corresponding provisions of Annexure 18 of the Master Circular are given below:

Any Other Information for Disclosure of Updates to Ongoing Tax Litigations or Disputes				
Sr.No.	Name of the opposing party	Date of initiation of the litigation / dispute	Status of the litigation / dispute as per last disclosure	Current status of the litigation / dispute
No records available				